

SELECTED FCM FINANCIAL DATA AS OF

September 30, 2014

FROM REPORTS FILED BY

October 31, 2014

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
		Futures Commission Merchant / Retail Foreign Exchange Dealer	Registered As	DSRO	As of Date	Adjusted Net Capital	Net Capital Requirement	Excess Net Capital	Customers' Assets in Seg	Customers' Seg Required 4d(a)(2)	Excess/Deficient Funds in Seg	Target Residual Interest in Seg	Funds in Separate Section 30.7 Accounts	Customer Amount Pt. 30 Required	Excess/Deficient Funds in Separate Section 30.7 Accounts	Target Residual Interest in Section 30.7	Funds in Separate Cleared Swap Segregation	Customer Amount Cleared Swap Seg Required	Excess/Deficient Funds in Cleared Swap Seg Accounts	Target Residual Interest in Cleared Swap Seg	Total Amount of Retail Forex Obligation
1			(a)	(b)		(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)	
2																					
3																					
4	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	9/30/2014	486,598,800	151,381,314	335,217,486	2,674,478,712	2,402,840,589	271,638,123	124,253,052	203,096,595	158,036,141	45,060,454	23,705,421	0	0	0	0	0
5	2	ADM INVESTOR SERVICES INC	FCM	CBOT	9/30/2014	291,202,091	153,991,137	137,210,954	3,771,985,433	3,515,041,022	256,944,411	120,000,000	269,367,239	200,447,775	68,919,464	20,000,000	11,753,153	2,145,874	9,607,279	8,000,000	0
6	3	ADVANTAGE FUTURES LLC	FCM	CME	9/30/2014	22,985,514	13,082,111	9,903,403	515,343,519	501,530,639	13,812,880	8,000,000	47,683,641	45,628,362	2,055,279	1,000,000	0	0	0	0	0
7	4	AMP GLOBAL CLEARING LLC	FCM	NFA	9/30/2014	2,637,019	1,500,000	1,137,019	55,334,707	53,920,504	1,414,203	900,000	1,165,724	804,318	361,406	150,000	0	0	0	0	0
8	5	BARCLAYS CAPITAL INC	FCM BD	NYME	9/30/2014	7,807,043,828	1,401,304,665	6,405,739,163	6,373,238,035	6,014,048,603	359,189,432	212,897,321	3,899,117,994	3,748,132,408	150,985,586	130,809,821	6,908,420,367	5,838,798,550	1,069,621,817	543,592,145	0
9	6	BGC FINANCIAL LP	FCM BD	NFA	9/30/2014	53,350,507	2,008,080	51,342,427	0	0	0	0	0	0	0	0	0	0	0	0	0
10	7	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	9/30/2014	3,315,377,087	203,481,333	3,111,895,754	3,003,227,900	2,682,126,066	321,101,834	268,212,607	17,427,068	2,345,595	15,081,473	10,000,000	13,374,150	3,274,894	10,099,256	5,000,000	0
11	8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	9/30/2014	1,645,328,113	235,269,931	1,410,058,182	1,144,420,322	915,437,022	228,983,300	183,087,404	39,845,106	13,155,191	26,689,915	1,315,519	517,887,199	447,601,313	70,285,886	44,760,131	0
12	9	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	9/30/2014	13,484,191	1,000,000	12,484,191	203	0	203	1	184	0	184	1	6	0	6	1	0
13	10	CANTOR FITZGERALD & CO	FCM BD	CBOT	9/30/2014	248,584,716	7,782,417	240,802,299	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
14	11	CHS HEDGING LLC	FCM	CBOT	9/30/2014	26,837,351	10,323,011	16,514,340	188,463,908	161,263,288	27,200,620	13,100,000	942,646	214,986	727,660	235,000	1,439,309	763,110	676,199	310,000	0
15	12	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	9/30/2014	5,028,801,680	1,047,604,098	3,981,197,582	5,770,839,537	5,470,861,429	299,978,108	257,400,000	1,250,533,466	958,460,665	292,072,801	150,000,000	5,984,406,865	5,628,444,990	355,961,875	278,500,000	0
16	13	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	9/30/2014	7,291,387,108	2,498,915,182	4,792,471,926	9,636,035,729	8,741,877,425	894,158,304	437,093,871	3,195,797,054	2,695,936,167	499,860,887	134,796,808	10,375,114,155	8,358,681,224	2,016,432,931	417,934,061	0
17	14	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	9/30/2014	5,566,200	1,760,351	3,805,849	77,468,175	72,920,055	4,548,120	3,050,000	517,590	246,529	271,061	100,000	0	0	0	0	0
18	15	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	9/30/2014	508,416,794	9,365,713	499,051,081	8,094,785	5,470,106	2,624,679	593,747	0	593,747	1	0	0	0	0	0	0
19	16	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	9/30/2014	10,092,684,422	675,386,822	9,417,297,600	11,881,511,392	11,332,306,574	549,204,818	500,000,000	1,246,282,826	995,807,492	250,475,334	200,000,000	1,828,032,863	1,558,219,420	269,813,443	250,000,000	0
20	17	DORMAN TRADING LLC	FCM	CME	9/30/2014	9,571,580	2,842,204	6,729,376	176,876,919	173,220,083	3,656,836	2,000,000	3,577,013	3,012,871	564,142	200,000	0	0	0	0	0
21	18	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	9/30/2014	50,617,877	17,043,202	33,574,857	605,473,875	587,081,335	18,392,540	9,000,000	41,894,714	39,747,256	2,147,458	1,000,000	0	0	0	0	0
22	19	E TRADE CLEARING LLC	FCM BD	NFA	9/30/2014	771,629,718	174,921,563	596,708,155	54,984,897	42,564,369	12,420,528	10,000,000	1,412,636	403,557	1,009,079	1,000,000	0	0	0	0	0
23	20	EFL FUTURES LIMITED	FCM	CME	9/30/2014	36,840,248	18,478,018	18,362,230	256,525,440	243,587,628	12,937,812	5,000,000	0	0	0	0	0	0	0	0	0
24	21	FCSTONE LLC	FCM	CME	9/30/2014	119,931,113	67,532,390	52,398,723	1,805,753,934	1,769,252,438	36,501,496	26,000,000	73,173,511	53,303,812	19,869,699	15,000,000	0	0	0	0	0
25	22	FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	9/30/2014	52,231,567	30,425,732	21,805,835	0	0	0	0	0	0	0	0	0	0	0	218,514,638	0
26	23	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	9/30/2014	3,510,313	1,000,000	2,510,313	0	0	0	0	0	0	0	0	0	0	0	0	0
27	24	FRONTIER FUTURES INC	FCM	NFA	9/30/2014	1,910,246	1,000,000	910,246	874,383	0	874,383	1	0	0	0	0	0	0	0	0	0
28	25	FXDIRECTDEALER LLC	FCMRFD SD	NFA	9/30/2014	20,633,671	20,000,000	633,671	0	0	0	0	0	0	0	0	0	0	0	0	38,345
29	26	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	9/30/2014	33,575,202	24,718,802	8,856,400	215,832,109	204,810,311	11,021,798	2,500,000	5,813,803	3,431,424	2,382,379	312,500	0	0	0	0	104,376,031
30	27	GH FINANCIALS LLC	FCM	CME	9/30/2014	10,997,837	2,701,887	8,295,950	32,949,996	30,708,527	2,241,469	575,000	436,639	137,593	299,046	75,000	0	0	0	0	0
31	28	GOLDMAN SACHS & CO	FCM BD SD	CBOT/NFA	9/30/2014	13,623,696,126	2,320,229,286	11,303,466,840	19,659,961,582	19,112,586,934	547,374,648	475,000,000	8,653,383,365	8,027,164,441	626,218,924	475,000,000	2,879,618,864	2,486,463,186	393,155,678	150,000,000	0
32	29	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	9/30/2014	1,494,649,478	191,636,903	1,303,012,575	1,212,363,630	632,567,606	579,796,024	540,000,000	67,070,209	19,565,432	47,504,777	40,000,000	0	0	0	0	0
33	30	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	9/30/2014	82,785,043	1,364,139	81,420,904	0	0	0	0	0	0	0	0	0	0	0	0	0
34	31	HSBC SECURITIES USA INC	FCM BD	CME	9/30/2014	1,021,331,140	181,974,554	839,356,586	1,433,271,431	1,302,907,878	130,363,553	50,000,000	134,045,283	102,246,199	31,799,084	22,924,600	674,670,213	618,268,840	56,401,373	30,000,000	0
35	32	IBFX INC	RFED SD	NFA	9/30/2014	28,288,710	22,048,395	6,240,315	0	0	0	0	0	0	0	0	0	0	0	47,402,962	0
36	33	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	9/30/2014	31,217,441	20,000,000	11,217,441	0	0	0	0	0	0	0	0	0	0	0	46,072	0
37	34	INTERACTIVE BROKERS LLC	FCM BD	NFA	9/30/2014	2,408,858,418	369,471,687	2,039,386,731	2,566,027,495	2,349,172,769	216,854,726	155,000,000	416,141,151	318,371,747	97,769,404	80,000,000	0	0	0	0	44,074,696
38	35	IRONBEAM INC	FCM	NFA	9/30/2014	2,253,965	1,000,000	1,253,965	39,542,917	38,275,443	1,267,474	800,000	110,959	0	110,959	50,000	0	0	0	0	0
39	36	ITG DERIVATIVES LLC	FCM BD	NFA	9/30/2014	4,625,677	1,000,000	3,625,677	0	0	0	0	0	0	0	0	0	0	0	0	0
40	37	JEFFERIES LLC	FCM BD	CBOT	9/30/2014	947,259,143	105,412,157	841,846,986	1,935,671,026	1,834,894,779	100,776,247	90,000,000	195,055,329	124,949,006	70,106,323	50,000,000	75,751,314	55,074,380	20,676,934	5,000,000	0
41	38	JP MORGAN CLEARING CORP	FCM BD	NFA	9/30/2014	7,959,984,583	2,003,374,552	5,956,610,031	982,792,335	637,020,244	345,772,091	57,331,822	613,199,488	421,307,153	191,892,335	37,917,644	250,000	0	250,000	1	0
42	39	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	9/30/2014	13,610,445,669	2,171,237,248	11,439,208,421	20,196,937,140	18,252,250,103	1,944,687,037	1,642,702,509	3,421,522,865	3,009,429,942	412,092,923	270,848,695	4,767,151,786	4,132,688,920	634,462,866	371,942,003	0
43	40	KCG AMERICAS LLC	FCM BD	CME	9/30/2014	290,349,058	29,435,541	260,913,517	700,462,814	682,852,667	17,610,147	15,000,000	7,436,978	4,428,004	3,008,974	2,500,000	0	0	0	32,942,680	0
44	41	LEK SECURITIES CORPORATION	FCM BD	NFA	9/30/2014	9,636,491	1,500,000	8,136,491	858,592	607,275	251,317	250,000	0	0	0	0	0	0	0	0	0
45	42	LINN GROUP THE	FCM	NFA	9/30/2014	1,809,359	1,000,000	809,359	840,158	0	840,158	1	39,522	0	39,522	1	0	0	0	0	0
46	43	MACQUARIE FUTURES USA LLC	FCM	CBOT	9/30/2014	169,202,988	118,527,084	50,675,904	1,511,958,636	1,327,138,726	184,819,910	90,000,000	18,733,577	4,708,207	14,025,370	329,574	24,263,581	5,965,108	18,298,473	417,558	0
47	44	MAREX NORTH AMERICA LLC	FCM	CME	9/30/2014	14,308,250	8,050,014	6,258,236	101,285,436	93,857,421	7,428,015	4,691,496	24,659,513	22,133,642	2,525,871	2,213,364	0	0	0	0	0
48	45	MB TRADING FUTURES INC	RFED	NFA	9/30/2014	24,439,934	20,733,311	3,706,623	0	0	0	0	0	0	0	0	0	0	0	24,666,224	0
49	46	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	9/30/2014	13,065,395	4,310,480	8,754,915	1,003,235,339	982,158,169	21,077,170	18,000,000	2,417,861	0	2,417,861	400,000	0	0	0	0	0
50	47	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT																	

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